

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No. 6,810,064  
Issued: October 26, 2004  
Serial No.: 09/934,791  
Filed: August 21, 2001  
Inventors: Coldren et al.  
Docket: G&C 30794.373-US-U1 UC 2001-027-2  
Title: HEAT SPREADING LAYERS FOR VERTICAL CAVITY SURFACE  
EMITTING LAYERS

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ASSERTION OF ENTITLEMENT TO SMALL ENTITY STATUS  
PURSUANT TO 37 C.F.R. §1.27(c)(1)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The Assignee, The Regents of the University of California, of the above-identified U.S. patent wishes to notify the U.S. Patent and Trademark Office (PTO) that it qualifies as a small entity for the purposes of paying reduced fees to the U.S. Patent and Trademark Office regarding the invention.

In order to establish small entity status for the above-identified U.S. patent, I hereby state:

(1) that the Assignee is a nonprofit organization, namely a university, that qualifies as a nonprofit organization as defined in 37 C.F.R. 1.27(a)(3), for purposes of paying reduced fees to the U.S. Patent and Trademark Office regarding the above-identified U.S. patent;

(2) that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified U.S. patent;

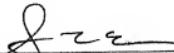
(3) that, if the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the above-identified U.S. patent also qualifies as an independent inventor under 37 C.F.R. 1.27(a)(1), or as a small business concern under 37 C.F.R. 1.27(a)(2), or as a nonprofit organization under 37 C.F.R. 1.27(a)(3); and

(4) that no rights to the above-identified U.S. patent are held by any individual, concern or organization, who could not qualify as an independent inventor under 37 C.F.R. 1.27(a)(1), or as a small business concern under 37 C.F.R. 1.27(a)(2), or as a nonprofit organization under 37 C.F.R. 1.27(a)(3).

Thus, it is submitted that the Assignee, The Regents of the University of California, now meets the requirements of "small entity" status, and the Assignee hereby requests that small entity status be established in the above-identified U.S. patent.

Respectfully submitted,  
The Regents of the University of California

Dated: 3/24/10

By:   
Sherylle Mills Englander  
Director  
Office of Technology & Industry Alliances  
University of California  
Santa Barbara, CA 93106-2055